

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANTS: John Nafeh and Kenton K. Yee

SERIAL NO.: 09/923,035

FILING DATE: August 6, 2001

TITLE: Methods and Apparatus for Formulation, Initial Public or Private Offering, and Secondary Market Trading of Risk Management Contracts

EXAMINER: Milef, Elda G.

ART UNIT: 3694

CONF. NO.: 8962

ATTY.DKT.NO.: PA3817US

---

**Statement of Substance of Examiner Interview**

Dear Examiner Milef:

In response to the Examiner Interview of May 27, 2010, and the Examiner Interview Summary of June 3, 2010, the Applicants provide the present statement of the substance of the interview. The undersigned representative, K. Brian Bathurst (Reg. No. 51,442), engaged in a telephonic interview with Examiner Elda Milef. The Applicants and their representative extend their sincere appreciation to Examiner Milef for her time, courtesy and constructive feedback during the interview. The Examiner's Interview Summary of June 3, 2010, accurately notes the discussion. The Applicants hope the Examiner had an opportunity to review Applicants' submission of May 27, 2010 in response to the Examiner Interview, and will be contacting the Examiner upon filing the present Statement to see if any further issues may be similarly resolved in order to expedite the prosecution herein.

## CONCLUSION

If the Examiner has questions regarding the case, the Examiner is invited to contact Applicants' undersigned representative at the number given below.

Respectfully submitted,  
John Nafeh and Kenton K. Yee

Date: July 6, 2010

By: /K. Brian Bathurst/  
K. Brian Bathurst, Reg. No. 51,442  
Carr & Ferrell LLP  
2200 Geng Road  
Palo Alto, CA 94303  
Phone: (650) 812-3486  
Fax: (650) 812-3444